

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 06816.0506CON1

First Inventor M. Iyer

Title METHOD AND APPARATUS FOR CASE-BASED LEARNING

Express Mail Label No. EU893-957-195US

24154 U.S. PRO  
10/16/03

09/17/03

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 97]  
*(preferred arrangement set forth below)*
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 19]
- Oath or Declaration [Total Pages 2]
  - a.  Executed
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for a continuation/divisional with Box 18 completed)*

i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Commissioner for Patents  
Mail Stop Patent Application  
Alexandria, VA 22313-1450

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. §3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation       Divisional       Continuation-in-part (CIP)

of prior application No: 10/641,845

Prior application information: Examiner TBD Group / Art Unit: TBD

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		35795		<input type="checkbox"/> Correspondence address below <i>(Insert Customer No. or Attach bar code label here)</i>	
Name					
Address					
City	State		Zip Code		
Country	Telephone		Fax		

Name (Print/Type)	Jonathan T. Kaplan		Registration No. (Attorney/Agent)	38,935
Signature	<i>Jonathan T. Kaplan</i>		Date	September 17, 2003

**Jonathan T. Kaplan**  
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**Tel. 917-674-5017**

FORM PTO-1082

Attorney Docket No. 06816.0506CON1

Commissioner for Patents  
Alexandria, VA 22313-1450  
Sir:

Transmitted herewith for filing is the patent application of  
Inventor: **Mahesh Anantharaman Iyer**  
For: **METHOD AND APPARATUS FOR CASE-BASED LEARNING**

Enclosed are:

- Specification containing 97 pages (including claims 1-10 and 1 page abstract)
- 19 sheets of drawings (Figs. 1-5, 6A-6B, 7-9, 10A-10F, 11A-11B, 12, 13A-13B, 14-15)
- An assignment of the invention to \_\_\_\_\_
- Form PTO/SB/35 (Request and Certification under 35 U.S.C. 122(b)(2)(B)(i))
- A certified copy of a \_\_\_\_\_ application.
- A verified statement to establish small entity status under 37 CFR 1.9 and 37 CFR 1.27.
- Executed Declaration (2 pgs).

The filing fee has been calculated as shown below:

(Col. 1)	(Col. 2)	
FOR	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	10 -20 =	* 0
INDEP. CLAIMS	3 -3 =	* 0
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED		

\*If the difference in Col. 1 is less than zero, enter "0" in Col. 2

SMALL ENTITY		OTHER THAN A SMALL ENTITY	
RATE	FEE	RATE	FEE
	\$ 370.00		\$750.00
X 9 =		x 18 =	\$0.00
x 42 =		x 84 =	\$0.00
+ 140 =		+ 140 =	
TOTAL		TOTAL	\$750.00

- Please charge my Deposit Account No. \* in the amount of \$ \*. A duplicate copy of this sheet is attached.
- A Credit Card Payment Form in the amount of \$750.00 to cover the filing fee is enclosed.
- The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency in payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **502584** referencing docket number **06816.0506CON1**. A duplicate copy of this sheet is attached.
  - Any additional filing fees required under 37 CFR 1.16.
  - Any patent application processing fees under 37 CFR 1.17.
- The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. \* referencing docket number \*. A duplicate copy of this sheet is enclosed.
  - Any patent application processing fees under 37 CFR 1.17
  - The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).
  - Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Date September 17, 2003

Express Mail Number EU893-957-195US

Jonathan T. Kaplan (Reg. No. 38,935)

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Specializing in  
intellectual property

Admitted CA, NY, USPTO

September 17, 2003

Transmittal Letter

**Via Express Mail No. EU893-957-195US**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Non-Provisional Utility Patent Application  
Appl. No. **To be Assigned** / Filed: **September 17, 2003**  
For: **Method and Apparatus for Case-Based Learning**  
Inventors: **Mahesh A. Iyer**  
Our Ref: **06816.0506CON1**

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Return postcard listing all the items below
2. Form PTO/SB/05 (*Utility Application Transmittal*)
3. Form PTO-1082 (*Fee Transmittal*)
4. Credit Card Payment Form for \$750.00 (application filing fee including excess claims).
5. U.S. Utility Patent Application entitled:

**METHOD AND APPARATUS FOR CASE-BASED LEARNING**

and naming as inventor:

**Mahesh Anantharaman Iyer**

Transmittal Letter  
September 17, 2003  
Express Mail No. EU893-957-195US  
Page 2 of 2

the application consisting of:

- a. A specification containing:
  - (i) 92 pages of description prior to the claims;
  - (ii) **4 pages of claims (1-10, including 3 independent claims);**
  - (iii) one (1) page abstract;
- b. **19 sheet(s) of drawings (Figures 1-5, 6A-6B, 7-9, 10A-10F, 11A-11B, 12, 13A-13B, 14-15);** and
- c. copy of an Executed Declaration under 37 CFR 1.63(d), from Parent Application, with Application No. 10/641,845 and filed 08/16/03, **2 pgs.**

It is respectfully requested the attached postcard be stamped with the following information and returned to me as soon as possible: the September 17, 2003 filing date of the documents listed hereon (the date of their deposit with Express Mail), and the unofficial application number.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to my Deposit Account No. 502584 referencing the above docket number. *A copy of this letter is enclosed.*

Respectfully submitted,



Jonathan T. Kaplan (Reg. No. 38,935)

Enclosures